

STATE OF MAINE
DIVISION OF CORPORATIONS AND UCC
UNIFORM COMMERCIAL CODE
FILING GUIDELINES: UCC FINANCING STATEMENT AMENDMENT AND ADDENDUM

FILING GUIDELINES: UCC FINANCING STATEMENT AMENDMENT

Availability of Forms

UCC-3 forms are available on our website at www.Maine.gov/sos/cec/corp/ucc.htm in Adobe PDF fillable format.

Completion of Forms

All UCC-3 filings must be submitted on the appropriate form. Our office will accept only the forms approved by the International Association of Commercial Administrators (IACA), the National Form or a form that complies with the formatting requirements in Title 11, Section 9-1521. Laser generated forms are acceptable as long as they are the same size (8½ x 11) and have the same format.

In order to receive an acknowledgment of your filing, you must complete items A & B on the IACA approved or National form. Please only submit one copy of each filing as our office generates an acknowledgement copy for each filing. Your acknowledgment will be returned to the name and address listed in box B.

If more than one copy is submitted, each copy will be treated as a separate filing that will require a separate filing fee. Additionally, our system does not allow for the use of return envelopes submitted with your filing.

Initial Financing Statement

Item 1a must contain only the Initial Financing Statement number from the original UCC-1.

Termination

Item 2 – Check this item only if you are filing a full release of all collateral.

Continuation

Item 3 – Check this item to continue the effectiveness of the original financing statement.

Assignment - Full or Partial

Item 4 – Check this item to fully or partially assign the powers of the secured party of record. Give the name of assignee in Item 7a or Item 7b and the address in Item 7c. Additionally, please provide the name of the assignor in Item 9.

Amendment – Party Information

Item 5 – Choose the **appropriate box** to indicate whether this amendment affects the information relating to a debtor **or** a secured party. Also, choose the **appropriate box** to indicate the reason for the change and provide the required information in Item 6 and Item 7. Item 6 “current information” is used only for amendments where you would also be using Item 7 “new information”. It is not used as a reference box for the debtor name. Item 10 can be used to reference any additional information. Our office **will not** record any information contained in Item 10. Please note: see below for information relating to amendments recorded in the county registry of deeds.

Amendment – Collateral Change

Item 8 – Choose only **one** box and describe the amendment to the collateral. If additional space is needed, use the UCC-3 Amendment Addendum. Our office **will not** record any party information contained in Item 8.

Secured Party

Item 9 – Give the name of the secured party of record authorizing this amendment. This item can also be used if this amendment is authorized by a debtor to add collateral, add a debtor or this is a termination authorized by a debtor. Check the box and enter the name of the debtor authorizing the amendment.

Optional Filer Reference Data

Item 10 Debtor name can be listed here for reference purposes. Our office will not record any information contained in this item.

Signatures

Effective July 1, 2001 Revised Article 9 eliminates the requirement for any signatures.

Legibility of Forms

Forms should be typed to reduce the possibility of error. Illegible or indecipherable forms will be rejected.

Other

The filing office does not alter any information contained in the initial financing statement. An amendment that purports to add or amends party information (debtor or secured party) will be keyed in the filing office database. An amendment that purports to delete party information will not be keyed into the filing office database. For example, if two debtor names are listed on the initial financing statement, the filing office will not delete one of the debtors from the filing office database.

FOR FILINGS RECORDED AT A COUNTY REGISTRY OF DEEDS:

Item 1 – Provide the book and page of the initial financing statement.

Item 9 – Provide the name of the current secured party. The filing will be rejected if you fail to provide this information.

Item 10 – Provide the name of the current debtor. The filing will be rejected if you fail to provide this information.

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(Form UCC 3Ad)

Item 11 – Provide information exactly as given in Item 1a on the amendment form.

Item 12 – Provide information exactly as given in Item 9 on the amendment form.

Item 13 – May be used for additional information, if the space is insufficient on the amendment form.

SUBMIT COMPLETED FORMS TO:

**SECRETARY OF STATE
UCC FILING SECTION
101 STATE HOUSE STATION
AUGUSTA, ME 04333-0101
TEL: (207) 624-7760**

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